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TREASURY DEPARTMENT

Number of Requests 16,394  
Number of Appeals 855  
Number of Court Cases 44

DEPARTMENT OF THE TREASURY

FREEDOM OF INFORMATION ACT  
ANNUAL REPORT TO CONGRESS - DUE MARCH 1, 1988  
FOR CY 1987

1. (a) Total number of requests received under 5 U.S.C. 552, as amended:  
16,394
- (b) Total number of initial determinations not to comply with a request for records made under subsection 552(a):  
[Partial and full denials, only. Do not include items listed under 2.(c) below.]  
2,444
2. Authority relied upon for each such determination:

- (a) Exemptions in 552(b) and number of times invoked:

(b)(1)	<u>1</u>	(b)(6)	<u>296</u>
(b)(2)	<u>774</u>	(b)(7)	<u>1,344</u>
(b)(3)	<u>1,890</u>	(b)(8)	<u>0</u>
(b)(4)	<u>35</u>	(b)(9)	<u>0</u>
(b)(5)	<u>590</u>		

- (b) Statutes invoked pursuant to Exemption (b)(3):

<u>Statutory Citation</u>	<u>Number of Times Invoked</u>
5 U.S.C. 552a -----	
5 U.S.C. 7114(b)(4)(C) -----	<u>4</u>
18 U.S.C. 1905 -----	
26 U.S.C. 6103 -----	<u>1,859</u>
26 U.S.C. 7213 -----	<u>47</u>
26 U.S.C. 7431 -----	<u>10</u>
31 U.S.C. 5319 -----	
35 U.S.C. 205 -----	
50 U.S.C. Appendix 2401-2420 -	
Federal Rules of Criminal Procedures: Rule 6(e) -----	<u>24</u>

3. List of name and title, or position, of each person who was responsible for the initial denial of records requested and number of instances of each participation: [The total number of all denials must equal the total number of partial and full denials shown in item 1(b).]

<u>Name and Title</u>		<u>Number of Denials</u>
Marcus Farbenblum	Section Chief FOI/Privacy Section	8
Len Finkel	Team Leader FOI/Privacy Section	3
H. A. Williamson, Jr.	Tax Law Specialist FOI/Privacy Section	48
Arthur Perretta	Tax Law Specialist FOI/Privacy Section	51
Mary Mar	Tax Law Specialist FOI/Privacy Section	32
Caroleigh Caster	Tax Law Specialist FOI/Privacy Section	15
Martha Richardson	Tax Law Specialist FOI/Privacy Section	27
Jacqueline Bryant	Tax Law Specialist FOI/Privacy Section	40
Charles S. Garabadian	Tax Law Specialist FOI/Privacy Section	28
Janice P. Rudolph	Tax Law Specialist FOI/Privacy Section	58
Cheryl Isom	Tax Law Specialist FOI/Privacy Section	29
E. R. McKelvie	Tax Law Specialist FOI/Privacy Section	39
Symeria R. Rascoe	Disclosure Program Asst. FOI/Privacy Section	28
Sandra Utter	Tax Law Specialist FOI/Privacy Section	37

- (c) Other authority (specified by category or described individually as appropriate, e.g., nonpossession of records, refusal to pay reasonable search or duplication fees, etc.):

Reason	Number of Times Invoked
Nonpossession of records -----	*
Not FOIA -----	*
Imperfect requests (31 CFR 1.5(c)(1)-(7)):	
Total -----	3,206
Partial breakdown by subsection:	
(c)(2) FOIA not referenced ----	(Our coding system
(c)(3) Improperly addressed ---	did not sub-divide
(c)(4) Insufficient description	these requests by
(c)(7) No agreement to pay fees	subsection,
Referred in full, intra-agency -----	*
Referred in part, intra-agency -----	*
Referred, inter-agency -----	*
Failure to provide proof of ID -----	355
Appeal prior to initial determination -	10
Request withdrawn by requester -----	287
No existing records -----	2,118
Nonpayment of outstanding FOIA bill ---	*
Denial of fee waiver request -----	*
Records previously furnished -----	*
Handled by telephone -----	*
Records destroyed in due course -----	*
Closed without determination (includes items listed above but not broken out)	432

however, most of the imperfect requests are due to nonagreements to pay fees and/or inadequately described records.)

<u>Name and Title</u>		<u>Number of Denials</u>
Michelle Lamishaw	Program Analyst FOI/Privacy Section	7
Mary C. Suffoletta	Tax Law Specialist FOI/Privacy Section	8
Irving Porter	Tax Law Specialist FOI/Privacy Section	5
Harold M. Browning	District Director Cincinnati	3
Robert W. Brock	Assistant District Director Cincinnati	1
George Miller	Regional Disclosure Officer Cincinnati	1
Steve Henstridge	Disclosure Officer Cleveland	12
Linda Brown	Disclosure Officer Detroit	100
Veronica Lumpkins	Disclosure Specialist Detroit	12
Henry A. Williamson	Acting Disclosure Officer Detroit	3
Kenneth Spenser	Disclosure Officer Indianapolis	27
Julia M. Courtier	Acting Disclosure Officer Cincinnati Service Center	4
Jack McGraw	Disclosure Officer Cincinnati Service Center	4
George Miller	Disclosure Officer Cincinnati Service Center	4
Edwin R. Ward, Jr.	Disclosure Officer Louisville	16
Paul J. DiCecco	Disclosure Officer Mid-Atlantic Region/ Philadelphia	16



<u>Name and Title</u>		<u>Number of Denials</u>
Ruth Goldstein	Acting Disclosure Officer Mid-Atlantic Region/ Philadelphia	2
C. O. Carley	Assistant to the Director Baltimore	1
Stephen L. Daige	Assistant District Director Baltimore	5
Teddy R. Kern	District Director Baltimore	5
Bruce V. Millburn	Assistant District Director Newark	2
J. J. Jennings	District Director Newark	4
Robert Roche	Acting District Director Newark	2
April Anson	Disclosure Officer Newark	3
George E. Sutton	Disclosure Officer Richmond	4
Thomas Sutor	Disclosure Officer Wilmington	2
Charles Guy	Assistant Director Philadelphia Service Center	2
Debbie Decker	Acting Director Philadelphia Service Center	1
George O'Hanlon	District Director Pittsburgh	6
Helen White	Assistant District Director Pittsburgh	2
L. Moore	ARC (Examination) Midwest Region	1

<u>Name and Title</u>		<u>Number of Denials</u>
James V. Perozzi	Acting ARC (Examination) Midwest Region	4
Ronald J. Koller	Acting ARC (Examination) Midwest Region	1
L. Barzyk	Acting ARC (Examination) Midwest Region	1
David M. Reizes	District Director Aberdeen	1
Jean N. Dixon	Disclosure Officer Chicago	27
Savannah Johnson	Manager, Special Programs Coordination Section Chicago	3
Mary B. Cooper	Acting Disclosure Officer Chicago	5
John Edwards	District Director Des Moines	17
Ross Sutton	Acting District Director Des Moines	3
A. G. Piech	Acting District Director Des Moines	3
C. T. Fairchild	Acting District Director Des Moines	2
Diane K. Austin	Disclosure Officer Des Moines	1
W. D. Malone	District Director Fargo	2
E. J. Weiler	Acting District Director Fargo	5
John A. Rigler	Disclosure Officer Helena	6
L. M. Phillips	District Director Milwaukee	32

<u>Name and Title</u>		<u>Number of Denials</u>
Robert T. McDonnell	Acting District Director Milwaukee	5
Paul Lally	Acting District Director Milwaukee	10
Ray Ratliff	Acting District Director Milwaukee	2
Fred F. Brehmer	Acting District Director Milwaukee	2
Terrence Lutes	Acting District Director Milwaukee	3
Elliot Lieb	Acting District Director Milwaukee	2
Pam Pfeffer	Acting District Director Milwaukee	3
Mitchell E. Premis	District Director Omaha	7
Catherine A. Bombere	Disclosure Officer Omaha	1
Robert A. LeBaube	District Director St. Louis	13
Alvin J. Freeman, Jr.	Acting District Director St. Louis	6
Larry LeGrand	Acting District Director St. Louis	1
Harry Fields	Acting District Director St. Louis	2
Ralph F. Shilling	District Director St. Louis	3
C. D. Switzer	District Director St. Paul	5
Douglas D. Hantke	Acting District Director St. Paul	3
Donald K. Vogel	Acting District Director St. Paul	1

<u>Name and Title</u>		<u>Number of Denials</u>
Laureen Foard	Disclosure Officer St. Paul	6
Barry Bjornson	Acting Disclosure Officer St. Paul	2
R. E. Simons	Acting Disclosure Officer St. Paul	3
Ira S. Loeb	District Director Springfield	2
Eugene Winston	Acting District Director Springfield	1
Joseph Nolan	Acting District Director Springfield	1
Kathleen Barley	Disclosure Officer Springfield	2
John Jennings	District Director, Brooklyn	4
Tom Grace	Acting District Director Brooklyn	5
M. Callison	Acting District Director Brooklyn	1
Anita Ireland	Disclosure Officer Brooklyn	7
Raymond Silano	Acting Disclosure Officer Brooklyn	5
Bob G. Hughes	Director Brookhaven Service Center	9
Bob Phillips	Acting Director Brookhaven Service Center	1
Tom Quinn	District Director Andover Service Center	11
Arlene Kay	Acting Director Andover Service Center	3
Shirley Greene	Acting Director Andover Service Center	1



<u>Name and Title</u>		<u>Number of Denials</u>
Frances X. Walsh	Acting Director Andover Service Center	2
M. Liebermann	District Director Providence	2
Robert Chaput	Acting District Director Providence	1
John Drew	Acting District Director Providence	1
Donald Mitgang	District Director Portsmouth	6
Richard Teed	Acting District Director Portsmouth	2
Ted Tedesco	Assistant District Director Manhattan	6
C. O. Carley	Acting Assistant District Director Manhattan	6
James E. Quinn	District Director Hartford	2
Thomas Kerr	Acting District Director Hartford	1
Regina Deanahan	Acting District Director Hartford	2
Joyce Weitz	District Director Burlington	2
Martin Basson	Disclosure Officer North-Atlantic Region	2
Gary Matthews	District Director Buffalo	9
Curtis Jenkins	Acting District Director Buffalo	3
Richard Lawless	Acting District Director Buffalo	1

<u>Name and Title</u>		<u>Number of Denials</u>
M. Mitchell	Acting Disclosure Officer Phoenix	1
A. Pasztor	Acting Disclosure Officer Phoenix	5
G. Wombacher	Acting Disclosure Officer Phoenix	4
Larry Burkey	Acting District Director Salt Lake City	1
Clarence M. King, Jr.	District Director Wichita	2
William F. Works	Acting District Director Wichita	1
Doug Molepske	Acting District Director Wichita	1
Jay Hammer	Disclosure Officer Ogden Service Center	62
William E. Palzkill	Director Austin Compliance Center	1
Robert D. Ah Nee	Director Austin Compliance Center	1
Michael D. Brockway	Acting Director Austin Compliance Center	1
David Burgess	Disclosure Officer Anchorage	43
Linn Andrews	Acting Disclosure Officer Anchorage	3
Delores Hardy	Acting Disclosure Officer Anchorage	2
Cathy Simpson	Acting Disclosure Officer Anchorage	1
Richard Orosco	District Director Boise	4

<u>Name and Title</u>		<u>Number of Denials</u>
John Johnson	District Director Boston	2
Don Cowles	Acting District Director Boston	1
Gary Jurovich	Acting District Director Boston	1
Edwin A. Kelleher	District Director Albany	6
John Ehlen	Acting District Director Albany	1
John Touhy	Disclosure Officer Albany	1
James Daly, Jr.	District Director Augusta	1
R. C. Voskuil	Regional Commissioner Southwest Region	3
Gerald Swanson	Acting Regional Commissioner Southwest Region	2
Glenn E. Shepard	Acting Regional Commissioner Southwest Region	1
Gary O. Booth	District Director Austin	16
Robert C. Wilkerson	Assistant District Director Austin	6
Edward M. Cavuto	Acting District Director Austin	1
Michael R. Grubich	Acting District Director Austin	1
Julia L. Gonzales	Disclosure Officer Austin	1
Conrad Clapper	District Director Cheyenne	2
Glenn Cagle	District Director Dallas	16

<u>Name and Title</u>		<u>Number of Denials</u>
James E. Kelly	Acting District Director Dallas	17
G. L. Mhlbachler	District Director Denver	6
Thomas M. Reid	Assistant District Director Denver	10
John A. Mattson	Acting District Director Denver	1
E. A. Stines	Acting District Director Denver	3
J. Martin	Acting District Director Denver	1
Arturo A. Jacobs	District Director Houston	6
Bobby E. Scott	Chief, Examination Div. Houston	19
K. J. Sawyer	District Director Oklahoma City	3
George Close	Assistant District Director Oklahoma City	2
Paul B. Nichols, Jr.	Disclosure Officer Oklahoma City	20
Larry Beckham	Acting District Director Oklahoma City	1
William C. Reitan	Acting District Director Oklahoma City	1
W. E. Fisher	Disclosure Officer Phoenix	66
W. Ferrell	Acting Disclosure Officer Phoenix	3
D. O'Conner	Acting Disclosure Officer Phoenix	2



<u>Name and Title</u>		<u>Number of Denials</u>
Diane Elm	Acting District Director Boise	4
Phil Coates	District Director Honolulu	4
Fred Lynn	Acting District Director Honolulu	2
James Kajiki	Acting District Director Honolulu	2
LaVerne Arnold	Disclosure Officer Laguna Niguel	62
Judy Martin	Acting Disclosure Officer Laguna Niguel	8
Lourdes Maria de Varona	Disclosure Officer Las Vegas	20
Mercy Manzur	Acting Disclosure Officer Las Vegas	7
Patricia Harris	Acting Disclosure Officer Las Vegas	1
Malia Berumen	Disclosure Officer Los Angeles	115
Robin Holbrook	Acting Disclosure Officer Los Angeles	18
Frieda Gill	Acting Disclosure Officer Los Angeles	3
Joanne Faber	Disclosure Officer Portland	14
Jarry Caspell	Acting Disclosure Officer Portland	2
Duane Jones	Disclosure Officer Sacramento	61
Scott Duncan	Acting Disclosure Officer Sacramento	16
Beverly Weber	Disclosure Officer San Francisco	14

<u>Name and Title</u>		<u>Number of Denials</u>
Barbara Haselbach	Acting Disclosure Officer San Francisco	7
Mary Clifton	Acting Disclosure Officer San Francisco	2
Lorna Mixon	Acting Disclosure Officer San Francisco	5
Scott Duncan	Acting Disclosure Officer San Francisco	2
LaVerne Arnold	Disclosure Officer San Francisco	1
Nadine Addison	Acting Disclosure Officer San Francisco	1
Dorothy Clifton	Disclosure Officer San Jose	76
Barbara Huggins	Acting Disclosure Officer San Jose	2
Stephen H. Flesner	Disclosure Officer Seattle	183
Jonathan K. Davis	Acting Disclosure Officer Seattle	22
Don Thompson	Acting Disclosure Officer Seattle	4
Donald B. Oliver	Disclosure Officer Fresno Service Center	151
RaNae Fielding	Acting Disclosure Officer Fresno Service Center	32
Debbie Wyant	Acting Disclosure Officer Fresno Service Center	8
Dee Trevorrow	Acting Chief, Compliance Division, Fresno Service Center	1
Kenneth A. Thompson	Deputy Assistant Commissioner (Inspection)	33

<u>Name and Title</u>		<u>Number of Denials</u>
John M. Rankin	Assistant Commissioner (Inspection)	3
Richard Byrd, Jr.	Disclosure Officer (Inspection)	2
Erwin Sobin	Acting Deputy Assistant Commissioner (Inspection)	1
Leslie S. Shapiro	Director of Practice	4
Jean S. Pate	Disclosure Officer Southeast Region	5
Jean S. Pate	Disclosure Officer Atlanta	35
Karen Czeskleba	Disclosure Officer Birmingham	6
Michael S. Barnett	Disclosure Officer Columbia	13
Stewart Chamberlain	Disclosure Officer Ft. Lauderdale	9
Peggy Harris	Acting Disclosure Officer Greensboro	2
Jackie Bracey	Disclosure Officer Greensboro	19
Betty Weiss	Disclosure Officer Jackson	5
B. K. Ferris	Disclosure Officer Jacksonville	30
E. L. Leuthold	Acting Disclosure Officer Jacksonville	8
A. B. Summerlin	Acting Disclosure Officer Jacksonville	1
Laurie L. Huett	Disclosure Officer Little Rock	5
Laurie L. Hale	Disclosure Officer Little Rock	6

<u>Name and Title</u>		<u>Name of Denials</u>
James H. Hobbs	Disclosure Officer Nashville	6
Nesbitt Parker	Disclosure Officer New Orleans	11
Betty Barksdale	Disclosure Officer Atlanta Service Center	22
Thomas E. Willett	Disclosure Officer Memphis Service Center	4
Percy Woodard, Jr.	Assistant Commissioner International	6



4.	Total number of intra-agency appeals from adverse initial decisions made pursuant to subsection (a)(6):	855
(a)	Number of appeals in which, upon review, request for information was granted in full:	13
(b)	Number of appeals in which, upon review, request for information was denied in full:	45
(c)	Number of appeals in which, upon review, request for information was denied in part:	38
	Pending	478

5. Specific authority relied upon for total or partial denials on appeal:

(a) Exemptions 552(b) and the number of times invoked:

(b)(1)	0	(b)(6)	2
(b)(2)	17	(b)(7)	90
(b)(3)	57	(b)(8)	0
(b)(4)	1	(b)(9)	0
(b)(5)	17		

(b) Statutes invoked pursuant to Exemption (b)(3):

<u>Statutory Citation</u>	<u>Number of Times Invoked</u>
26 U.S.C. 6103 -----	82
26 U.S.C. 6103(a) -----	40
26 U.S.C. 6103(b)(2) -----	23
26 U.S.C. 6103(e)(7) -----	19
Federal Rules of Criminal Procedure: Rule 6(e) -----	0

(c) Other authority:

<u>Reason</u>	<u>Number of Times Invoked</u>
Treated as non-appeal -----	<u>368</u>
Withdrawn by requester -----	<u>73</u>
Denied fee waiver request -----	<u>4</u>
Litigation commenced due to failure to respond on time -----	<u>24</u>
Nonpossession of records -----	<u>4</u>
Refusal to pay fees -----	<u>23</u>
Documents not administrative material -	<u>78</u>
Record does not exist -----	<u>88</u>
Records not requested in initial FOIA request -----	<u>76</u>
All records already released to requester -----	<u>61</u>
Requester did not file appeal within the 35-day period -----	<u>0</u>

6. List of name and title, or position, of each person who, on appeal, was responsible for the denial in whole or in part of records requested and the number of instances of each signator's participation: [The total number of denials on appeal must equal the total of 4(b) and 4(c).]

<u>Name and Title</u>		<u>Number of Denials on Appeal</u>
Alan A. Beck	Deputy Assistant Commissioner (Support and Services)	1
Peter V. Filpi	Director, Disclosure Litigation Division	63
John B. Cummings	Assistant Director Disclosure Litigation Division	15
Arthur L. Lappen	Acting Director, Disclosure Litigation Division	4

7. A copy of each court opinion or order giving rise to a proceeding under subsection (a)(4)(F); a copy of the Office of Personnel Management's findings and recommendations on each such proceeding; and a report of the disciplinary action taken against the officer or employee who was responsible for improperly withholding records or an explanation of why disciplinary action was not taken.

Number of documents attached: 0

8. Up-to-date copies of all rules or regulations issued pursuant to, or in implementation of, the Freedom of Information Act (5 U.S.C. 552). (Only amendments made during this reporting period are reported here.)

Number of documents attached: See Attachment A

9. A copy of the fee schedule adopted and the total dollar amount of fees collected for making records available.

Amount collected: \$75,811.83

10. Pursuant to subparagraph (d)(7), the following information is provided indicative of efforts to fully administer this section:

(a) Availability of records. A list of all new categories or segregative portions of records now being released upon request. See Attachment B

(b) Costs. Incremental costs incurred in administering the 1974 amendments to the Act. The best estimate of direct and indirect costs for CY 1987: 3,784,886.

(c) Compliance with time limitations for agency determinations. Subparagraph (a)(6)(A) provides for an initial determination to be made on any request for records within ten (10) working days (usually two weeks) of its receipt. In case of an appeal from an initial denial, a determination on the appeal is to be made by the agency within twenty (20) working days (usually four weeks) after receipt of the appeal. The amendments contain two provisions for extension of the foregoing time limits: (1) an additional ten days in three types of unusual circumstances, and (2) where authorized by a court.

- (1) The total number of instances in which it was necessary to seek a 10-day extension of time was: 0

broken down as follows:

- a. The need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request: 0

- b. The need to search for, collect, and appropriately examine a voluminous amount of separate and distinct records which were demanded in a single request: 0

- c. The need for consultation, which was conducted with all practicable speed, with another agency having a substantial interest in the determination of the request or among two or more components of the agency having substantial subject matter interest therein: 0

- (2) The total number of instances where court appeals were taken on the basis of exhaustion of administrative procedures because the agency was unable to comply with the request within the applicable time limits: 24

- (3) The total number of instances in which a court allowed additional time upon showing exceptional circumstances, together with a copy of each court opinion or order containing such an extension of time: 0

- (d) Internal memoranda. A copy of all unpublished internal memoranda or instructions setting forth procedures to be followed by agency personnel in administering the Act or defining its coverage together with a statement indicating whether the memoranda or instructions are publicly available or, if not, the legal basis for non-disclosure of any such document.

Number of documents attached: 0



11. Number of court cases: 44